Electronic Subcontracting Reporting System (eSRS)

http://www.esrs.gov

Spring 2011

Agenda

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- SSR Business Rules
- Reviewing ISR and SSR Reports
- Running Data Reports in eSRS
- Wrap-up
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eSRS History

- System falls under the Integrated Acquisition Environment (IAE) at General Services Administration (GSA)
- Intended to streamline the small business subcontracting program reporting process and provide the data to agencies in a manner that will enable them to more effectively manage the program.
- System eliminates the need for paper submissions and processing of required subcontracting reports.
  - Individual Subcontracting Report (ISR) replaces the SF 294
  - Summary Subcontracting Report (SSR) replaces the SF 295
  - Year-End SDB Report
  - SDB Participation Report (Optional)
- FAR eSRS Interim Rule published April 2008 - Requires eSRS reporting
- April 2008 - DoD began deployment (phased approach)
- Oct 2008 - Full implementation of eSRS by all DoD components who use FPDS for contract reporting

Regulations

- FAR 19.7, Subcontracting Program
- FAR 52.219-9, Subcontracting Plan (Jan 2011)
- DFARS 219.7, Subcontracting Program (Oct 2010)
- DFARS 252.219-7003, Subcontracting Plan (Oct 2010)
- DFARS 252.219-7004, Subcontracting Plan (Test Program) (Jan 2011)

- Note: DEVIATION from using eSRS to submit ISRs for certain contracts. Contractors submit SF 294

System Overview

eSRS Data Flow

FPDS Next Generation

Electronic Subcontracting Reporting System (eSRS)

eSRS

Contractor

ISR or SSR Specifics

- Date Submitted
- Reporting Period
- Prime or Sub
- Major Product or Service Lines
- Goal Dollars by Option Year
- Actual Dollars for Each Business Type

****A contract must be marked in FPDS as having a subcontracting plan or it will not pull over to eSRS. If it is not marked correctly, the contractor will get an error message when trying to input an ISR and will be directed to contact their government contracting official.****

DoD Hierarchy Overview

- eSRS pulls it's DoD organizational information from FPDS
- Organizational hierarchy components
  - Department, Service/Agency, Major Command, Sub Command
  - All organizations are referred to as "agencies" in eSRS
- Agency codes –
  - 4 digit, DoD 9700, Army 2100, Navy 1700, DISA 97AK
- Office Codes
  - 6 character DoD Activity Address Code (DODAAC) equals office code in eSRS
  - Before 2003, DoD used 4 digit codes

Government User Roles

- Agency Coordinator (AC)
  - Has full access to eSRS for their parent organization, sub-commands, and below
  - Manages and approves organization registration requests
  - Can view/accept/reject contractor reports
  - Can run reports on data at their registered level
- Point of Contact (POC)
  - Has all the same access to the system that the AC has
- Contracting Official (CO)
  - Can view/accept/reject contractor reports
  - Can run reports on data at their registered level
  - Should be the individual responsible for the contract
- Designated Government User (DGU)
  - Can view contractor reports
  - Can run reports on data at their registered level

Reports in eSRS

Individual Subcontracting Report (ISR)

- Required for each contract containing an Individual Subcontracting Plan
- Replaces the SF 294 Form
- Required semiannually from a prime contractor **and** its lower tier subcontractors with Individual Subcontracting Plans
- Not required for Commercial or DoD Comprehensive Subcontracting Plan (CSP)

Summary Subcontracting Report (SSR) – Individual Plans

- Required from each prime contractor/subcontractor with at least one contract supporting DoD which includes an Individual Subcontracting Plan
- Replaces the SF 295 Form
- Submit **one** SSR semiannually based on government fiscal year to:
  - Department / Agency that administers **majority** of subcontracting plans; or
  - **Each** Department / Agency that awards construction and related maintenance repair contracts

Summary Subcontracting Report (SSR) – Commercial Plans

- Required annually from each prime contractor with a Commercial Subcontracting Plan that applies to **entire production** of commercial items sold by either the entire company or a division, plant or product line
- Includes **all** subcontracting under federal government contracts **and** non-government contracts
- Identifies % of total subcontracting dollars attributable to **each** federal agency that awarded contracts using the Commercial Subcontracting Plan

Reports in eSRS

SSR for DoD Comprehensive Subcontracting Plan (CSP)

- DoD test program for subcontracting plans to be negotiated on Plant/Corporate/Division basis
- 14 participating companies
- Includes total subcontracting $ for DoD contracts
- May also break out total subcontracting $ for
  - Department / Agency
  - Major Program

Year-end Supplementary Report for SDBs

- **All** SSRs submitted at the close of each FY shall include a Year-end Report
  - If data is not available when submitting SSR, prime/sub contractor shall submit w/in 90 days of submitting the SSR
- Includes total subcontract $ to SDBs by NAICS (SBD $'s should be the same as on the SSR).

Small Disadvantaged Business Participation Report (SDB)

- Report required **if** contract award included SDB participation evaluation and SDB targets are in the contract
- Required at contract completion or as otherwise required in the contract
- Using eSRS for this report is optional
  - Optional Form 312
  - Contractor's format

Report Status Descriptions

- **Pending (PEN)**
  - The report has been submitted by the contractor and is waiting to be “accepted” or “rejected” by the appropriate government contracting official.
- **Accepted (ACC)**
  - A government contracting official has reviewed the report and has found no known errors, issues or concerns and doesn’t require any clarification, information, or corrections at this time. They acknowledge receipt of the report. **Even though a report has been “accepted,” it can be reviewed again and rejected at any time**.
- **Rejected (REJ)**
  - A government contracting official has reviewed the report and has found errors, issues, or concerns and requires clarification, information or corrections to the report.
- **Revised (REV)**
  - The original report was rejected by the appropriate government contracting official. The report has been revised by the contractor, resubmitted, and is awaiting to be “accepted” or “rejected” by the appropriate government contracting official.
- **Reopened (RPN)**
  - The report has been opened by a government contracting official after previously being “accepted” into the system. This may occur when the government contracting official finds error or issues with the original report. Once the report has been reopened, it may be “accepted” or “rejected” again.

Individual Subcontracting Report (ISR) Business Rules and Responsibilities

Individual Subcontracting Report (ISR) Business Rules

- ISR is submitted twice a year to DoD
- Contractors (primes and subcontractors) with Individual Subcontracting Plans included in their contract must submit this report
- Prime contractor's report is submitted to the awarding agency listed in FPDS
- Subcontractor's report is submitted to their upper-tier contractor
- In order for a report to show up in eSRS, the contract information in FPDS must be marked as having a subcontracting plan. If this is not marked, the contracting official will need to update this in FPDS.

Individual Subcontracting Report (ISR) Business Rules

- Report should be reviewed and approved by awarding agency
  - Reports submitted by subcontractors should be reviewed and approved by upper-tier contractor (entity that awarded the subcontract)
- Administering contract office can be copied on the report by the contractor but they should not take action on the report
- Since ISRs are connected to contracting offices and not contracting officers, users should only take action on reports they are responsible for.
  - Users may see more reports listed in eSRS than they are responsible for. Those other reports belong to officers also connected to the contracting office ID.
- Data from ISRs will be used to set goals for DoD organizations

ISR Responsibilities

Individual Subcontracting Report (ISR) (Prime)

- **Prime** contractor completes ISR and identifies administering contract office if different from the awarding office
- **PCO (awarding contract office)** is responsible for review, acknowledging/rejecting ISR even when contract administration has been delegated to DCMA or another organization
- **Admin office uses ISRs to monitor subcontracting plans**

Individual Subcontracting Report (ISR) (Subcontractor)

- **Subcontractor** completes ISR and provides upper-tier contractor's name and email information
- **Upper-tier contractor awarding the subcontract** is responsible for reviewing, acknowledging/rejecting the ISR submitted by its next lower-tier subcontractors

NOTE: FAR 52.219-9 requires upper-tier contractor to flow down specific information to its lower-tier contractors so

- Lower-tier contractors can enter this info when entering and submitting ISR in eSRS
- The designated person can review lower-tier ISRs

Summary Subcontracting Report (SSR) Business Rules and Responsibilities

Summary Subcontracting Report (SSR) Business Rules

- Primes/Subcontractors should submit **one** SSR to DoD
  - Report should be submitted to the department or agency that administers the majority of their subcontracting plans for DoD – i.e. Army, Navy, DLA, etc. **AND/OR**
  - SSRs for Individual Subcontracting Plans for construction/maintenance contracts should be submitted to the Service/Agency that awarded the related contracts
- SSRs for Individual Subcontracting Plans should be reviewed and accepted by the SSR Coordinator for each Service/Agency. The SSR Coordinator is accepting them on behalf of DoD.
- SSRs for Commercial Subcontracting Plans should be submitted to the contracting office of the contracting officer that approved the plan
  - Other contracting offices awarding contracts subject to the plan will be able to see data but will not have access to accept/reject the report
- Comprehensive Subcontracting Test Program (CSP) participants should submit their reports to the CSP Division at DCMA

SSR Responsibilities

Summary Subcontracting Report (SSR) for Individual Subcontracting Plan

- For non-commercial or non-construction/maintenance related contracts:
- Prime/Subcontractor completes **one** SSR for DoD
- Submits **one** SSR to **top level** for the DoD department or agency that administers the **majority** of its DoD Individual Subcontracting Plans, **NOT** to any lower level
- **Top level SSR Coordinator** of department/agency acknowledges receipt/rejects SSR

Summary Subcontracting Report (SSR) for Individual Subcontracting Plan

- For construction/ maintenance related contracts:
- Prime/Subcontractor completes SSR for each DoD agency which awarded such type contracts
- Submits each SSR to **top level** of the department or agency, **NOT** to any lower level
- **Top level SSR Coordinator** of department/agency acknowledges receipt/rejects SSR

Summary Subcontracting Report (SSR) – Commercial Plans

- **Prime** contractor completes SSR
- Indicates % of total subcontracting $ attributable to each federal agency.
- Identifies the contracting office of the contracting officer who approved the Commercial Subcontracting Plan
- **Contracting Officer who approved** contractor's Commercial Subcontracting Plan acknowledges receipt/rejects the SSR

Reviewing ISR and SSR Reports

Checklists for Reviewing Reports

- Three checklists are available from OSBP to assist reviewing ISRs and SSRs
  - ISR checklist
  - SSR for Individual Plan checklist
  - SSR for Commercial Plan checklist

- Checklists contain line-by-line guidance on each report
  - Reasons to accept, reject
  - Common errors, areas to review closely

Reviewing ISRs

- It is the ultimate responsibility of the contracting official to accept or reject the report in eSRS
- Always provide explanation when rejecting the ISR so the contractor knows what to do
- Failure to meet goals is **not** a reason for rejecting ISR
  - Contractor should have no pending lower-tier ISRs
- 2nd reporting period $ usually ≥1st reporting period $
- Reject ISR when:
    - Incorrect Contract Administering Office
    - Incorrect reporting period / year
    - Goals (% / $) not same as Subcontracting Plan
    - No comment provided when contractor enters zero or fails to meet $ or % goals

Reviewing SSRs for Individual Plans (SSR Coordinator)

- Ensure contractor submits only one SSR to the top level of the DoD Service/Agency
- 2nd reporting period $ usually ≥ than 1st reporting period $
- Should have accompanying Year-End SDB Report (within 90 days after filing SSR)
- Reject SSR when:
  - Not submitted to the top level of the DoD Service/Agency
  - Multiple SSRs are submitted for the same DUNS and the same reporting period
  - Incorrect reporting year
  - No comment provided when contractor enters zero $ or % for subcontracting achievements
  - SSR filed for the wrong type of subcontracting plan

Reviewing SSR for Commercial Subcontracting Plan (Approver of Commercial Plan)

- Should have accompanying Year-End SDB Report (within 90 days after filing SSR)
- Reject SSR when:
  - Submitted to PCO/ACO who did not approve the plan
  - Incorrect reporting year used
  - Contractor selects “subcontractor” (must be “prime” or “both”)
  - Contractor’s NAICS is construction or specialty trades
  - $ and % do not include subcontracting under non-government contracts
    - % attributable to DoD cannot be 100%
    - Anything greater than 50% is suspect
  - No comment provided when contractor enters zero $ or % for subcontracting achievements

Running Data Reports in eSRS

Keys to Running Data Reports

- All user roles in eSRS have access to run data reports
- Two Types of Reports:
  - Canned Reports – Built by System PM; available to all users; data fields pre-selected
  - Adhoc Report – Built by user; data fields from reports available for selection
  - Reports can be downloaded as Excel file
  - Reports developed by user cannot be shared with other users

Wrap Up

Timeline

Contractor

April 30 – submit reports for the period ending March 31st

October 30 – submit reports for the period ending September 30th

Government Officials

June 15 – Contracting Officials must acknowledge receipt of all eSRS submitted by April 30

December 15 – Contracting Officials must acknowledge receipts of all eSRS reports submitted by October 30

June 30 and December 30 each year

-Each DoD Service/Agency must submit an eSRS Status Report

-The report should cover the number of outstanding reports, plans to reduce them (a timeline for corrective actions), and barriers preventing acknowledgement of receipt or rejection of reports

-The report should address current FY, or any previous reporting period that is still incomplete and remains on status report until resolved

-The report should be submitted electronically to DPAP, OSBP, and BTA

NOTE: Pending, revised, and reopened reports, acknowledgment of receipt or rejection completed **within 30 days of contractor submission.**

Assessing Agency Performance

- SBA uses **SSR data** to report achievements to Congress
- OSBP uses **SSR data** to monitor achievement of DoD's small business subcontracting goals and provides input for the SBA Scorecard
- OSBP will use **ISR data** from previous years (FY 2008 – FY 2011) to establish goals and monitor achievements for individual DoD components (plan to begin FY 2012)

eSRS Training

- DAU Small Business Community of Practice
  - PowerPoint slides, FAQ, Train-the-Trainer Outline, Policy Docs, Webcast links
  - https://acc.dau.mil/esrs
- Continuous Learning Module - CLC 054
  - http://www.dau.mil/
- eSRS DAU Webcast
  - Presented with OSBP; over 1144 sites logged into the presentation
  - Online site demo was captured and posted with Webcast – https://acc.dau.mil/esrs
- Vendor Training - www.esrs.gov
- Help Desk – http://www.fsd.gov
  - For any system issues or questions

Points of Contact

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Questions?